



Filing ID #10024047

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Roger Barris
Status: Congressional Candidate
State/District: CO02

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2018
Filing Date: 06/26/2018

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Acct for First Child [OT] DESCRIPTION: Acct for child 3 created by grandmother	DC	\$15,001 - \$50,000	None		
Ally Bank CD [BA]		\$250,001 - \$500,000	None		
Banc of California [BA]		\$100,001 - \$250,000	None		
Banccentral [BA]		\$100,001 - \$250,000	None		
Bank of America CA Money Acct [BA] DESCRIPTION: The interest is estimated assuming a balance at the upper end of the range and a 1.5% rate of interest (per annum)		\$250,001 - \$500,000	Interest	\$2,501 - \$5,000	\$2,501 - \$5,000
Bank of America Money Acct [BA] DESCRIPTION: The interest is estimated assuming a balance at the upper end of the range and a 1.0% rate of interest (per annum)		\$250,001 - \$500,000	Interest	\$2,501 - \$5,000	\$2,501 - \$5,000
Bank of Baroda [BA]		\$100,001 - \$250,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Bank of China [BA]		\$250,001 - \$500,000	None		
Bank of India [BA]		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500	None
Barclays Bank Delaware [BA]		\$500,001 - \$1,000,000	None		
Barclays GBP Account [BA]		\$15,001 - \$50,000	None		
Berkshire Bank [BA]		\$100,001 - \$250,000	None		
Betalife Investments LLC [PS]		\$50,001 - \$100,000	None		
DESCRIPTION: Investment into an aggregation company for an indirect investment in TikunOlamUSA, a medical marijuana company					
BMW Bk of North America [BA]		\$100,001 - \$250,000	None		
Bonifazius Holding GmbH [PS]		Undetermined	None		
DESCRIPTION: Swiss company in liquidation					
Capella Therapeutics Inc [PS]		\$100,001 - \$250,000	None		
DESCRIPTION: Capella is a bio-technology company that is developing breakthrough oncology medications					
Castleforge Real Estate Partners [HE]		\$100,001 - \$250,000	Capital Gains, Interest, Rent	None	\$15,001 - \$50,000
DESCRIPTION: Castleforge is a limited partnership that is invests in real estate in the United Kingdom. I am an adviser to the manager of this fund and I sit on its Investment Committee					
City National Bank of Florida [BA]		\$50,001 - \$100,000	None		
Comenity Bank [BA]		\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000	None
Compass Bank [BA]		\$250,001 - \$500,000	Interest	\$2,501 - \$5,000	None
Customers Bank [BA]		\$100,001 -	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
		\$250,000			
DB Real Estate GO [HE]		\$1,001 - \$15,000	Capital Gains, Interest, Rent	None	None
Discover Bank [BA]		\$100,001 - \$250,000	None		
Enerbank [BA]		\$100,001 - \$250,000	None		
Fifth Third Bank [BA]		\$100,001 - \$250,000	None		
First Niagara Bank [BA]		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500	None
Futures Acct with RJ O'Brien [FU]		\$250,001 - \$500,000	Capital Gains	\$15,001 - \$50,000	None
DESCRIPTION: I maintain a futures acct so that I can hedge some of my EUR-denominated investments by selling EUR futures contracts. The account generated losses in 2017					
Goldman Sachs Bank [BA]		\$250,001 - \$500,000	None		
Goldman Sachs Bank [BA]		\$250,001 - \$500,000	Interest	\$2,501 - \$5,000	None
HSA with Bank of America [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
IRA At Merrill Lynch [OT]		\$500,001 - \$1,000,000	None		
DESCRIPTION: This IRA is invested, under the discretion of my financial adviser at ML, into various US stocks					
Lloyds EUR Acct [BA]		\$15,001 - \$50,000	None		
Loan to Manoir des Sacres [DO]		\$100,001 - \$250,000	Interest	\$2,501 - \$5,000	\$5,001 - \$15,000
DESCRIPTION: This is a loan to a French company that produces an effervescent, alcohol-free drink. I also have an equity investment in this company.					
Luana Savings Banks [BA]		\$100,001 - \$250,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Manoir des Sacres [PS]		Undetermined	None		
DESCRIPTION: This in an equity investment in a French company that produces an effervescent, alcohol-free drink. I have also made a loan to this company.					
Merrill Lynch CMA [BA]		\$1 - \$1,000	Interest	\$1 - \$200	\$1 - \$200
Midway Market Neutral Institutional Fund LLC [HE]		\$1,000,001 - \$5,000,000	Capital Gains	None	None
DESCRIPTION: Midway specializes in investing in mortgage backed securities, especially REMIC interest-only residuals					
Mizrahi Tefahot Bank [BA]		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500	None
ML Bank Deposit Program [BA]		\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Money Mkt Acct with Vanguard [BA]		\$5,000,001 - \$25,000,000	Dividends	\$15,001 - \$50,000	None
MUFG UN BK [BA]		\$100,001 - \$250,000	None		
Peakside Real Estate Fund I [HE]		\$500,001 - \$1,000,000	Capital Gains, Interest, Rent	None	\$100,001 - \$1,000,000
DESCRIPTION: PREF I is a limited partnership that invests in real estate in Germany and Central Europe. PREF I is managed by a company (Peakside Real Estate Advisors) that I previously co-founded. I remain an adviser to Peakside and I sit on its Investment Committee					
Peakside Real Estate Fund II [HE]		\$250,001 - \$500,000	Capital Gains, Interest, Rent	None	\$100,001 - \$1,000,000
DESCRIPTION: PREF II is a limited partnership that invests in real estate in Germany. PREF II is managed by a company (Peakside Real Estate Advisors) that I previously co-founded. I remain an adviser to Peakside and I sit on its Investment Committee					
Residence in France [RP]		\$5,000,001 - \$25,000,000	None		
LOCATION: Cannes, FR DESCRIPTION: This residence is occupied by my wife, from whom I am legally separated, pending our divorce					
Roth Retirement Acct at Merrill Lynch [OT]		\$50,001 - \$100,000	None		
DESCRIPTION: This Roth retirement is invested, under the discretion of my financial adviser at ML, into various US stocks					
Safra Bank [BA]		\$100,001 - \$250,000	Interest	\$2,501 - \$5,000	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Signature Bank [BA]		\$100,001 - \$250,000	None		
Snap Inc. Class A (SNAP) [ST]		None	None		
DESCRIPTION: Short position in 2000 SNAP shares					
Southside Bank [BA]		\$100,001 - \$250,000	None		
SPDR Gold Trust (GLD) [ST]		\$500,001 - \$1,000,000	None		
State Bank of India [BA]		\$250,001 - \$500,000	None		
Tesla Puts [OP]		\$15,001 - \$50,000	None		
DESCRIPTION: A put option on 250 shares of Tesla					
Tesla, Inc. (TSLA) [ST]		None	None		
DESCRIPTION: Short position in 2,750 shares					
Texas Capital Bank [BA]		\$250,001 - \$500,000	None		
TIAA [BA]		\$100,001 - \$250,000	None		
UTMA Acct for Child 2 [OT]	DC	\$15,001 - \$50,000	None		
DESCRIPTION: Account for child 2 created by grandmother					
UTMA Acct for Child 3 [OT]	DC	\$15,001 - \$50,000	None		
DESCRIPTION: Acct for child 3 created by grandmother					
Wells Fargo Bank [BA]		\$250,001 - \$500,000	None		
Wells Fargo Bank 1.2% [BA]		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500	None
Wells Fargo Bank 2.4% [BA]		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500	None
Zion Bank [BA]		\$100,001 -	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
		\$250,000			

* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Castleforge Real Estate Partners	Adviser to a real estate fund manager and member of the Investment Committee	\$40,000.00	\$40,000.00
Peaksides Real Estate Advisors	Adviser to a real estate fund manager and member of the Investment Committee	\$24,000.00	\$48,000.00
Wall to Wall Productions Ltd	Participation in a television show		\$2,000.00
DB Group Services	Deferred compensation	\$550.00	N/A

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

Position	Name of Organization
Investment Committee Member	Castleforge Real Estate Partners
COMMENTS: Castleforge managers limited partnerships that invest in real estate in the United Kingdom	
Investment Committee Member	Peaksides Real Estate Advisors
COMMENTS: Peaksides manages limited partnerships that invest in real estate in Germany and Central Europe	

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

COMMENTS

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Roger Barris , 06/26/2018